

**UNITED STATES DISTRICT COURT  
WESTERN DISTRICT OF LOUISIANA  
LAFAYETTE DIVISION**

**SECURITIES & EXCHANGE COMMISSION    CASE NO. 6:18-CV-01229**

**VERSUS**

**JUDGE JUNEAU**

**WORLD TREE FINANCIAL L L C ET AL**

**MAGISTRATE JUDGE WHITEHURST**

**EXHIBIT LIST**  
**Bench Trial 11/2/20**

**PARTY: PLAINTIFF**

<b>EXHIBIT NUMBER</b>	<b>DESCRIPTION &amp; REMARKS</b>	<b>IDENTIFIED</b>	<b>OFFERED</b>	<b>FILED</b>
5	Operating Agreement of World Tree Financial, LLC. SEC-World Tree-E-0021104 through 21131	11/2/20	11/2/20	11/2/20
6	Articles of Organization and Initial Report of World Tree Financial, LLC. SEC-World Tree-E-0029835 through 29842	11/2/20	11/2/20	11/2/20
7	List of the members and employees of World Tree Financial, LLC	11/2/20	11/2/20	11/2/20
8	Articles of Organization and Initial Report of Perkins and Gilmore Investments, LLC. P&G-000139 through 156	11/2/20	11/2/20	11/2/20
9	Articles of Incorporation for Perkins Wealth Management, Inc. PWM-324 through 346	11/2/20	11/2/20	11/2/20
10	Daily Allocation Procedure	11/2/20	11/2/20	11/2/20
11	Compliance Manual December 4, 2009 WTF-658 through 715 and WTF-786 through 855	11/2/20	11/2/20	11/2/20
12	Letter from Hamburger Law Firm Re: Compliance Manual	11/2/20	11/2/20	11/2/20
13	World Tree Financial, LLC's Compliance Manual dated June 17, 2010	11/2/20	11/2/20	11/2/20
14	World Tree Financial, LLC's Compliance Manual dated May 29, 2012	11/2/20	11/2/20	11/2/20
15	World Tree Financial, LLC's Form ADV dated October 25, 2019	11/2/20	11/2/20	11/2/20
16	Annual Amendment of Form ADV December 2010 SEC-World Tree-E-00217179 through 21747	11/2/20	11/2/20	11/2/20
17	Form ADV, June 15, 2012 SEC-World Tree-E-0021179 through 21780	11/2/20	11/2/20	11/2/20
18	Form ADV, August 7, 2015, SEC-World Tree-E-0020977 through 20993	11/2/20	11/2/20	11/2/20

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19	World Tree Financial, LLC's Form ADV part 2A dated March 15, 2011	11/2/20	11/2/20	11/2/20
20	World Tree Financial, LLC's Form ADV part 2A dated February 27, 2012	11/2/20	11/2/20	11/2/20
21	World Tree Financial, LLC's Form ADV part 2A dated June 5, 2012	11/2/20	11/2/20	11/2/20
22	World Tree Financial, LLC's Form ADV part 2A dated March 25, 2013	11/2/20	11/2/20	11/2/20
23	World Tree Financial, LLC's Form ADV part 2A dated March 18, 2014	11/2/20	11/2/20	11/2/20
24	World Tree Financial, LLC's Form ADV part 2A dated February 9, 2015	11/2/20	11/2/20	11/2/20
25	Disclosure Brochure, September 29, 2015 SEC-World Tree-E-0021026 through 21043	11/2/20	11/2/20	11/2/20
26	Preallocation Spreadsheet	11/2/20	11/2/20	11/2/20
27	Accounts List	11/2/20	11/2/20	11/2/20
28	World Tree Proprietary Accounts	11/2/20	11/2/20	11/2/20
29	LITB excerpt from Schwab trade blotter/LITB press release/NYSE Gainers & Losers	11/2/20	11/2/20	11/2/20
30	2013 3rd Quarter Model Breakdown	11/2/20	11/2/20	11/2/20
31	FINRA Rule 4515	11/2/20	11/2/20	11/2/20
32	Ceres excerpt from Schwab trade blotter/Ceres press release/Nasdaq Gainers & Losers	11/2/20	11/2/20	11/2/20
33	BLOX excerpt from Schwab trade blotter/BLOX press release/NYSE Gainers & Losers	11/2/20	11/2/20	11/2/20
34	2013 4th Quarter Model Breakdown	11/2/20	11/2/20	11/2/20
35	TWTR excerpt from Schwab trade blotter/TWTR article/NYSE Gainers & Losers	11/2/20	11/2/20	11/2/20
36	2013 1st Quarter Model Breakdown	11/2/20	11/2/20	11/2/20

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37	Twitter purchase	11/2/20	11/2/20	11/2/20
38	Netflix purchase	11/2/20	11/2/20	11/2/20
39	2014 4th Quarter Model Breakdown	11/2/20	11/2/20	11/2/20
40	NFLX excerpt from Schwab trade blotter/NFLX press release/NASD Most Active Issues	11/2/20	11/2/20	11/2/20
41	Charles Schwab Account Application	11/2/20	11/2/20	11/2/20
42	Delcambre Cellular Account Document	11/2/20	11/2/20	11/2/20
43	Schwab Account Statements for Delcambre Cellular from 2010 through July 2015	11/2/20	11/2/20	11/2/20
44	January 6, 2015 email string between Wesley Perkins and Matthew LeBlanc	11/2/20	11/2/20	11/2/20
45	Schwab Account Statements for Matthew and Melanie LeBlanc December 1, 2010-December 31, 2014	11/2/20	11/2/20	11/2/20
48	State of Louisiana, Articles of Incorporation Gilmore Wealth Management, Inc.	11/2/20	11/2/20	11/2/20
56	Email from Priscilla Gilmore, dated July 24, 2015, with attachment	11/2/20	11/2/20	11/2/20
60	World Tree Financial, LLC's Form ADV part 2A dated August 7, 2015	11/2/20	11/2/20	11/2/20
61	Disclosure brochure dated February 29, 2015	11/2/20	11/2/20	11/2/20
62	World Tree Financial, LLC's Compliance Manual dated May 29, 2012	11/2/20	11/2/20	11/2/20
63	World Tree Financial, LLC's Compliance Committee Meeting Minutes	11/2/20	11/2/20	11/2/20
66	Letter dated September 6, 2017, from Hamburger Law Firm	11/2/20	11/2/20	11/2/20
68	Document showing buy orders from 8/13/2012 to 7/31/2016	11/2/20	11/2/20	11/2/20

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71	Spreadsheets Bates-Stamped Perkins 403-421	11/2/20	11/2/20	11/2/20
72	Schwab Trades Data (SEC-CS-E-0000973 Trades_3.2011-9.2015.xlsx)	11/2/20	11/2/20	11/2/20
80	Newly Produced Schwab Account Statements (SCH000001-SCH078630)	11/2/20	11/2/20	11/2/20
81	Schwab Account Statements for Matthew and Melanie LeBlanc January 1, 2015-August 2015	11/2/20	11/2/20	11/2/20
82	Schwab Order Sequence Data (SEC-SCHWAB-E- 0000001 W165563_Order Sequence_WorldTree_Part1.xlsx)	11/2/20	11/2/20	11/2/20
83	Schwab Order Sequence Data (SEC-SCHWAB-E- 0000264 W165563_Order Sequence_WorldTree_Part2.xlsx)	11/2/20	11/2/20	11/2/20
83A	Exhibit P83 Condensed	11/2/20	11/2/20	11/2/20
84	Schwab Trading Blotter (SCHWAB- AML00098054_FOIA CONFIDENTIAL TREATMENT REQUESTED.xlsx)	11/2/20	11/2/20	11/2/20
85	Client List with Edelivery.xlsx (SEC-CS-E- 0000971)	11/2/20	11/2/20	11/2/20
86	Charles Schwab Pricing Guide January 2012 (SEC- CS-E-0000972)	11/2/20	11/2/20	11/2/20
87	Schwab Termination Letter 9/15/2015	11/2/20	11/2/20	11/2/20
89	Niden CV	11/2/20	11/2/20	11/2/20
90	Niden Report Exhibit 1a	11/2/20	11/2/20	11/2/20
91	Niden Report Exhibit 1b	11/2/20	11/2/20	11/2/20
92	Niden Report Exhibit 2	11/2/20	11/2/20	11/2/20
93	Niden Report Exhibit 3	11/2/20	11/2/20	11/2/20
94	Niden Report Exhibit 4a	11/2/20	11/2/20	11/2/20
95	Niden Report Exhibit 4b	11/2/20	11/2/20	11/2/20

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96	Niden Report Exhibit 5	11/2/20	11/2/20	11/2/20
97	Niden Report Exhibit 6a	11/2/20	11/2/20	11/2/20
98	Niden Report Exhibit 6b	11/2/20	11/2/20	11/2/20
99	Niden Report Exhibit 6c	11/2/20	11/2/20	11/2/20
100	Niden Report Exhibit 7a	11/2/20	11/2/20	11/2/20
101	Niden Report Exhibit 7b	11/2/20	11/2/20	11/2/20
102	Niden Report Exhibit 8	11/2/20	11/2/20	11/2/20
103	Niden Report Exhibit 9	11/2/20	11/2/20	11/2/20
104	Niden Report Exhibit 10	11/2/20	11/2/20	11/2/20
105	Niden Report Exhibit 11	11/2/20	11/2/20	11/2/20
117	Addendum to Niden Expert Report dated July 7, 2020	11/2/20	11/2/20	11/2/20
118	Niden Dataset Appendix B.xlsx	11/2/20	11/2/20	11/2/20
119	SEC-DEF-EPROD_20191113.dat	11/2/20	11/2/20	11/2/20
120	Niden Addendum Exhibit 1a, Revised	11/2/20	11/2/20	11/2/20
121	Niden Addendum Exhibit 1b, Revised	11/2/20	11/2/20	11/2/20
122	Niden Addendum Exhibit 2, Revised	11/2/20	11/2/20	11/2/20
123	Niden Addendum Exhibit 3, Revised	11/2/20	11/2/20	11/2/20
124	Niden Addendum Exhibit 4a, Revised	11/2/20	11/2/20	11/2/20
125	Niden Addendum Exhibit 4b, Revised	11/2/20	11/2/20	11/2/20
126	Niden Addendum Exhibit 5, Revised	11/2/20	11/2/20	11/2/20
127	Niden Addendum Exhibit 6a, Revised	11/2/20	11/2/20	11/2/20
128	Niden Addendum Exhibit 6b Revised	11/2/20	11/2/20	11/2/20
129	Niden Addendum Exhibit 6c, Revised	11/2/20	11/2/20	11/2/20
130	Niden Addendum Exhibit 8, Revised	11/2/20	11/2/20	11/2/20
131	Niden Addendum Exhibit 9, Revised	11/2/20	11/2/20	11/2/20
132	Niden Addendum Exhibit 10, Revised	11/2/20	11/2/20	11/2/20
133	Niden Addendum Exhibit 11, Revised	11/2/20	11/2/20	11/2/20
134	Niden Addendum Exhibit 12	11/2/20	11/2/20	11/2/20

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135	Niden Addendum Exhibit 13	11/2/20	11/2/20	11/2/20
136	Niden Addendum Exhibit 14	11/2/20	11/2/20	11/2/20
137	Theriot CV	11/2/20	11/2/20	11/2/20
138	Complaint	11/2/20	11/2/20	11/2/20
139	Answer	11/2/20	11/2/20	11/2/20
140	Table of 50 Biggest Winning Trades by Dollar Profit at Time of Allocation	11/2/20	11/2/20	11/2/20
141	Table of 50 Biggest Losing Trades by Dollar Loss at Time of Allocation	11/2/20	11/2/20	11/2/20
142	Table of Same-Day Trades	11/2/20	11/2/20	11/2/20
143	Table of Allocation and Returns for Largest 25 Trades by Amount Invested	11/2/20	11/2/20	11/2/20
144	Market Performance Data for S&P 500 and Dow Jones Industrial Average	11/2/20	11/2/20	11/2/20
151	Demonstrative Exhibits prepared by Niden	11/2/20	11/2/20	11/2/20
168	Swab Account Delcambre Cellular LLC, Account # 3176-8609, April 1-30, 2014	11/2/20	11/2/20	11/2/20
169	Swab Account Matthew J. LeBlanc, Account #7330-2510, April 1-30, 2014	11/2/20	11/2/20	11/2/20
118A	Alternate P 118 -Niden Appendix B	11/2/20	11/2/20	11/2/20
171	Summary of SNTS Trades	11/5/20	11/5/20	11/5/20
172	Revised Exhibit D12	11/5/20	11/5/20	11/2/20